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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/559,171	04/26/2000	Daniel ManHung Wong	OR00-00801	1509

22835 7590 05/23/2003

PARK, VAUGHAN & FLEMING LLP
508 SECOND STREET
SUITE 201
DAVIS, CA 95616

EXAMINER

TO, BAOQUOC N

ART UNIT	PAPER NUMBER
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2172

9

DATE MAILED: 05/23/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

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Office Action Summary	Application No.	Applicant(s)	
	09/559,171	WONG ET AL.	
	Examiner	Art Unit	
	Baoquoc N To	2172	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on ____.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) 1,3-5,7-11,13-15,17-21,23-25 and 27-30 is/are pending in the application.

4a) Of the above claim(s) 6,16 and 26 is/are ~~withdrawn from consideration~~.

Canceled

- 5) ☐ Claim(s) ____ is/are allowed.
- 6) ☒ Claim(s) 1,3-5,7-11,13-15,17-21,23-25 and 27-30 is/are rejected.
- 7) ☐ Claim(s) ____ is/are objected to.
- 8) ☐ Claim(s) ____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on ____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
 Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on ____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
 If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
 a) ☐ All b) ☐ Some * c) ☐ None of:
 1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. ____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
 * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
 a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- | | |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). ____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) ____ | 6) <input type="checkbox"/> Other: |

DETAILED ACTION

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 02/24/03 has been entered.

2. Claims 1, 3-5, 7-11, 13-15, 17-21, 23-25 and 27-30.

Response to Arguments

3. Applicant's arguments filed 02/24/03 have been fully considered but they are not persuasive.

The applicant argues, "Maier does not reveal any location within Maier that teaches creating audit record only if auditing is enable."

The examiner respectfully disagrees with the applicant because Maier discloses a new audit records in the auditing trial 204 (col. 7, lines 8-9). In addition, Maier also discloses, "an AuditTrial filter" to set certain on condition to allow the only AuditTrail record that pertain to the Old Partition are received for processing (col. 8, lines 35-40).

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

4. Claims 1, 3-5, 7-11, 13-15, 17-21, 23-25 and 27-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Maier et al. (US. Patent No. 5,625,185) in view of Green et al. (US. Patent No. 6,041,310).

regarding on claims 1, 11 and 21, Maier teaches a method for selectively auditing accesses to a relational database system, comprising:

receiving a query from a client at a database server that processes queries for the relational database system (col. 3, lines 65-66);

automatically modifying the query prior to processing the query, so that processing the query causes an audit record to be created and recorded for rows in relational tables that are accessed by the query and that satisfy an auditing condition (col. 4, lines 10-12);

processing the query at the database server to produce a query result (co. 4, lines 7-10);

creating the audit record only for rows in relational tables that are actually accessed by the query and that satisfy the auditing condition, wherein creating the audit record includes (col. 6, lines 58-60):

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recording the audit record in an audit record table store (col. 4, lines 10-12); and returning the query result to the client (col. 6, lines 35-39).

Maier does not explicitly teaches creating the audit record only for rows; determining if auditing is enabled; creating the audit record if auditing is enable; and automatically modifying the query prior to processing the query. However, teaches, "any new audit record in the audit trail 204 associated with the first object 200 are accessed and corresponding to the redo operation are performed against the second object 202" (col. 7, lines 8-11). This teaches the new audit record is creating records for rows. In addition, Maier also teaches, "an AuditTrail filter is establish such that only AuditTrail records that pertain to the Old Partition are received for processing (by an Audit Fixup Process started by the SQL catalog manager). The processing of each audit record that passes the filter is called and "audit fixup" (col. 8, lines 35-40). This teaches the AuditTrial filter is the auditing condition. On the other hand, the method of modifying the query prior processing to redirect the query to perform the different request is known in the art. For example, Green discloses, "first, if non of the readership inventory matches the customer query exactly, terminal processor 10a automatically modifies the primary query to create the second query so that at least one vehicle is displayed" (col. 10, lines 63-66). This teaches modifying the query. Therefore, it would have been obvious to one ordinary skill in the art at the time of the invention was made to modify the teaching of Green into into Maier because by modifying or transforming the query prior processing would allow the system to

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reconfigure the query to adapt any changes and efficiently create the records according to the changes.

Regarding on claims 3, 13, and 23, Maier teaches the auditing condition is associated with a table in the relational database system (col. 5, lines 18-27).

Regarding on claims 4, 14 and 24, Maier teaches the auditing condition includes a plurality of auditing conditions (col. 8, lines 24-28).

Regarding on claims 5, 15 and 25, Maier teaches the auditing record includes:
a user name for a user making the query (col. 6, line 4);
a time stamp specifying a time of the query (col. 6, lines 1-4); and
a text of the query (col. 6, lines 15-18).

Regarding on claims 7, 17 and 27, Maier teaches auditing is enabled on a table by table basic (col. 5, lines 63-60).

Regarding on claims 8, 18 and 28, Maier teaches auditing record is created while the query result is generated (col. 6, lines 8-18).

Regarding on claims 9, 19 and 29, Maier teaches the auditing record is created after the query result is generated (col. 6, lines 18-30).

Regarding on claims 10, 20 and 30, Maier teaches the auditing condition includes a condition for a field within the relational database system (col. 6, lines 18-30).

Conclusion

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Baoquoc N. To whose telephone number is (703) 305-1949 or via e-mail BaoquocN.To@uspto.gov. The examiner can normally be reached on Monday-Friday: 8:00 AM – 4:30 PM, EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kim Y. Vu can be reached at (703) 305-4393.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

Any response to this action should be mailed to:

Commissioner of Patents and Trademarks
Washington, D.C. 20231.

The fax numbers for the organization where this application or proceeding is assigned are as follow:

- (703) 746-7238 [After Final Communication]
- (703) 746-7239 [Official Communication]

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- (703) 746-7240 [Non-Official Communication]

Hand-delivered responses should be brought to:

Crystal Park II


2121 Crystal Drive

Arlington, VA 22202

Fourth Floor (Receptionist).

Baoquoc N. To

May 13, 2003


JEAN M. CORRIELUS
PRIMARY EXAMINER